Chapter

3

NMFS Pacific Marine/Anadromous Fish and Invertebrates Scientific Research Authorizations

And

Oregon Scientific Take Permits

September 2014

Contents

Background

Individuals planning to conduct scientific research resulting in the "take" of an endangered or threatened species must possess a permit to perform that activity. Research activities involving or impacting listed salmon, steelhead, eulachon, rockfish, sturgeon and abalone are typically handled through the Endangered Species Act (ESA) section 10(a)(1)(A) process. The 4(d) research limit provides a streamlined permit application and authorization process for listed fish scientific research projects submitted by California Department of Fish and Wildlife (CDFW), Oregon Department of Fish and Wildlife (ODFW), Washington Department of Fish and Wildlife (WDFW), or Idaho Department of Fish and Game (IDFG) as a part of a monitoring and research program overseen by or coordinated with that Agency.

Section 10(a)(1)(A) Scientific Research Permits

Under section 10(a)(1)(A) of the ESA of 1973, the National Marine Fisheries Service (NMFS) may issue permits for scientific research purposes or to enhance the propagation or survival of species listed as threatened or endangered under the ESA. Researchers may use APPS to apply for a permit for scientific research that may affect Pacific marine/ anadromous fish or invertebrates.

The authorization provided by section 10(a)(1)(A) permits exempts researchers from the prohibitions of ESA section 9, in particular those dealing with take**. *Take* is defined by the ESA as: "to harass, harm, pursue, hunt, shoot, wound, kill, trap, capture, or collect, or to attempt to engage in any such conduct."** Permitted activities must not operate to the disadvantage of the listed species and must provide a bona fide and necessary or desirable scientific purpose. Permits are valid for up to five years and include conditions necessary to minimize and monitor the impacts of the proposed activities. Section 10(a)(1)(A) permits can be applied for year-round, but it takes an average of six to nine months from the time we receive a completed application for us to issue the permit.

These application instructions are drawn from, but do not substitute for, the ESA section 10 regulations at 50 CFR §222.308. Applicable state laws or regulations prevail in all cases where they are more restrictive. Possession of a section 10(a)(1)(A) permit should be regarded as a privilege in that NMFS must balance permit issuance with its duties to protect and recover listed species.

Section 4(d) research authorizations

Section 4(d) of the ESA directs NMFS to issue regulations to conserve species listed as threatened. This applies particularly to “take” and may include habitat modification. The ESA prohibits ANY take of species listed as endangered, but some take of threatened species that does not interfere with salmon, steelhead, or sturgeon survival and recovery can be allowed.

In a salmon and steelhead 4(d) rule adopted July of 2000 (and amended June 28, 2005), the agency applied take prohibitions to all actions except those within 13 "limits" to the rules where the specified categories of activities contribute to conserving listed threatened salmon, steelhead, eulachon, rockfish and/or sturgeon. Limit 7 of the 4(d) rule provides an exemption for scientific research activities conducted by employees or contractors of the CDFW, ODFW, WDFW, or IDFG, or as a part of a monitoring and research program overseen by or coordinated with that Agency.

On June 2, 2010, NMFS issued the final 4(d) rule that established protected regulations for listed threatened Southern DPS of North America green sturgeon in California, Oregon and Washington. In addition to establishing take prohibitions, this rule also includes an exemption to those prohibitions for state coordinated research activities for scientific research activities included in a state-sponsored, ESA compliant, scientific research program between state fishery agencies and NMFS.

The 4(d) rule exemptions for research provides both NMFS and the state fishery agencies a way to coordinate and review salmon research proposals. The rule also streamlines the research application and authorization process by combining the state's processes with the 4(d) submittals. The state agencies screen all research applications and then work with NMFS to ensure authorized research does not over utilize the resource. They also must either conduct or oversee the research activities or coordinate such efforts. The 4(d) program enables NMFS and the states to combine reporting of take, results of research, and general accountability. You can find more information at the following NMFS web site: http://www.westcoast.fisheries.noaa.gov/permits/section_4d.html.

4(d) Rule Conditions

- Section 4(d) authorizations are available for research and monitoring that may affect threatened Pacific marine and anadromous fish. Even if threatened salmon, steelhead, or sturgeon are not your target species, you must still apply for Federal authorization if you may encounter them during your research. Research and monitoring activities involving threatened salmon, steelhead, or sturgeon should be coordinated with the appropriate state fishery agencies.

- The 4(d) rule does not allow researchers to take endangered species – for that, you must obtain a section 10 permit. Section 10 permit applications are also available through APPS.

- Boat electrofishing cannot be authorized under the 4(d) rule – you must obtain a section 10 permit for boat electrofishing.

- Take activities in the mainstem Columbia River are not authorized under the 4(d) rule – you must obtain a section 10 permit for these activities.

- Activities involving only visual surveys (i.e. snorkel/habitat surveys) for which the only take is “observe/harass” do not require 4(d) authorization. This **does not** include electrofishing activities where fish are shocked but not netted. However, we **strongly** encourage persons conducting observational surveys in Oregon and California to include “observe/harass” activities in the application, so that the data can be reported annually.

- You cannot use APPS to obtain U.S. Fish and Wildlife Service (FWS) authorization to take threatened or endangered species under their jurisdiction (e.g. bull trout). You must contact your state’s FWS office for the appropriate permit to conduct research on these species or visit their website at http://www.fws.gov.

- Applications for 4(d) authorization must be submitted on the website during the annual **open application period** (from mid-September to mid-October). Late applications will not be accepted. Please contact your state’s representative for the exact deadline. Click on the “Contact Us” link (located on the left side of each web page) to find the contact information for the office responsible for processing your application.

- 4(d) authorizations are issued for only a single calendar year. For multi-year projects, you must renew your application at the end of each year.

- In California, all non-CDFW principal and co-investigator’s for each project must have a valid California Scientific Collecting Permit issued from the CDFW.

Oregon Scientific Take Permits

The ODFW has partnered with NMFS to allow persons to use APPS to apply for Oregon Scientific Taking Permits (STPs) along with NMFS’ section 10(a)(1)(A) permits and 4(d) research authorizations. Oregon STPs are issued for the taking of freshwater and marine fish and invertebrates including shellfish for scientific or educational purposes. An Oregon STP is required for taking species in state waters (including coastal waters to 3 miles offshore) and in Federal waters (3 to 200 miles offshore). “Take” includes activities that collect, kill, or maintain possession of fish or invertebrates (including capture, handle, and release). To qualify for an Oregon STP, a project must have scientific research or educational merit. Oregon STPs are issued for scientific or educational purposes and rescue/salvage activities. Your project may require additional Federal permits or approvals (i.e. USFWS or NMFS section 10 permits, NMFS Letter of Determination of Take) for activities in locations that contain ESA listed species.

More information about Oregon's STPs issued by ODFW's Fish Division is available at the following web site: http://www.dfw.state.or.us/fish/license_permits_apps/. Information about wildlife collection permits is available at this web site: http://www.dfw.state.or.us/wildlife/license_permits_apps/.

Before you begin the Oregon STP application process you should note the following:

- Applicants must discuss their proposed sampling activities with the appropriate ODFW biologist(s) **prior to submitting their application**. Contact information for the state of Oregon can be found in Appendix IV. For work on the mainstem Columbia River, you should contact Tom Rien; and for marine projects, you should contact Ali Dauble, Patrick Mirick (marine fish) and/or Scott Groth (marine invertebrates). **For multi-year projects, applicants must contact the biologist(s) annually for comments.**

- Oregon STPs are issued for a calendar year only. To continue to collect or survey in January of the next calendar year, you must apply for a renewal prior to the expiration of your current permit.

- You should allow four to six weeks for your complete Oregon STP to be processed. The time to issue a permit may be longer if Federal authorization is required. If you are an "early start" (i.e. you would start sampling between January 1 and February 28), please send an email indicating this to fish.research@state.or.us.

Other State Agency Collection Permits

California

The CDFW has requirements for Scientific Collecting Permits and Incidental Take Permits. Information regarding these requirements and the application process is available at the following web site:
http://www.dfg.ca.gov/wildlife/nongame/research_permit/.

Idaho

The IDFG requires a permit for scientific collecting. The application for this permit can be acquired at the following web site:
http://fishandgame.idaho.gov/cms/licenses/.

Washington

The WDFW has requirements for Scientific Collection Permits. Information about these requirements and the application are available at the following web site: http://wdfw.wa.gov/licensing/scp.

THE APPLICATION PROCESS

The following sections provide instructions for applying for section 10 (a)(1)(A) permits, 4(d) authorizations, and/or Oregon STPs. In some cases, the requirements are different. These differences will be noted by shaded text.

Pre-application Guide (PAG)

Applications for new projects (even for registered users) require the completion of the PAG. Accurate completion of the PAG is important in assigning your project to the correct permit type(s) [e.g., 4(d) authorization and Oregon STP, section 10(a)(1)(A), or STP only]. Please read each question carefully. Instructions for the PAG are available in Chapter 1.

Upon completing the PAG, the results page will indicate the NMFS permits and authorizations required. The results page will also indicate if you need an Oregon STP. Please review the results page and use the "Contact Us" section to identify the person(s) who can help with the application.

> **Note**: Because other states are not participating in the database, there will not be an indication of whether or not another state permit is required. It is your responsibility to acquire all necessary permits.

You have the option at this point to start an application or cancel. **If you select cancel, you will be required to complete another PAG before starting your application.** Click the link to start an application if you are satisfied with the results of the PAG. If you wish, you can then stop work on the application and edit at another time. The draft permit will be a blank placeholder and will be saved in your portfolio.

Completing an Application

Your application will be assigned a file number. Please use this file number in all correspondence about your project. When starting from your portfolio, clicking on the "File Number" link will take you to the application. While working through your application, save frequently using the "Save" button at the top of your application.

Instructions for using APPS can be found in Chapter 2: "How to Use the APPS System." Here are some **General Guidelines**:

- Be patient when using APPS. Some screens take time to load and save.
- The application consists of a series of screens or pages. To move forward or backward in an application, use the navigation links "Previous" or "Next." **Do not use your browser's navigation buttons. Doing so may cause the system to lose your information.** You can also use the page links at the top of the application to jump to any one of the other pages of the application. APPS will run checks before you can "Submit" an application to ensure you haven't skipped any required screens or data fields.
- Save your data often by clicking on the "Save" link on the top of the application. You will also be asked "Would you like to save this page?" when you click on the navigation links "Previous" or "Next." Select "Save" to save new data, or "Cancel" to continue on to the next screen without saving. "Cancel" does NOT cancel the action you just selected.
- The "Return" link will take you to your portfolio.
- An asterisk (*) marks fields that are required. Before moving to the next page or submitting an application, you must enter text in these fields.
- You do not have to complete an application in one sitting. However, APPS will display a warning message after 20 minutes have passed without any activity. To avoid loss of data, save the application before the system times out. As long as you save before exiting, the information that you entered into the application will be there when you return to the application. The application will be filed as a draft.

Permit Application Layout

New applications will open in draft or editing mode, and the first page you will see is the "Project Information" page (pictured on next page). Applications are divided into as many as eight pages or sections depending on the type of permit/authorization you are applying for. The sections of an application are:

- **Project Information**, **Project Description**, and **Project Supplemental Information** – these sections request specific information about your project. Provide sufficient detail for accurate review of your proposal, including overall project goals and methods. You can attach supplemental files, such as a scope of work, to the application.

- **Biologist Comments** – if you are applying for a 4(d) authorization in California or Oregon, you will be asked to submit comments from local CDFW or ODFW biologists. Employees of CDFW, ODFW, WDFW, and IDFG are not required to submit biologist's comments. For projects in Oregon, it is the researcher's responsibility to obtain comments from the ODFW District or Assistant District Biologists. However, if you are unable to receive biologist comments prior to submitting the application, indicate the date you attempted contact as a placeholder.

- **Federal Information** – this section collects information about Federal cooperators, authorizations, funding, or permits other than the one you are applying for here. For projects requesting an Oregon STP and not applying for ESA coverage through the 4d process, you must attach the appropriate Federal permit (i.e. Section 10, Section 7, Determination of Take Authorization) authorizing any proposed take of ESA listed species. In addition, if you are or any investigators listed in the application are Federal employees, the name, title, and agency should be entered within this section. An Oregon STP will not be considered complete without this information.

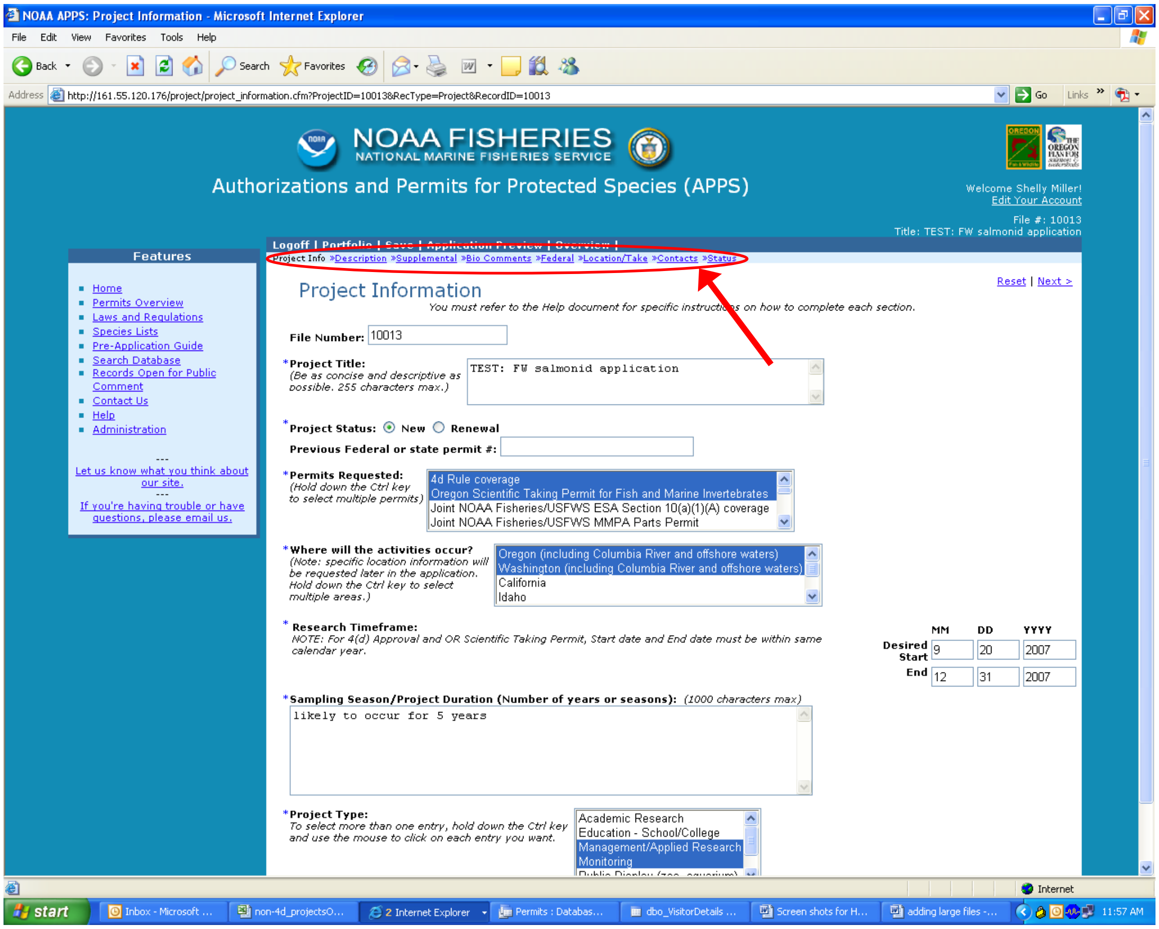
- **Location and Take Information** – these sections request information about the places you are requesting to work, and the numbers and types of fish and invertebrates you expect to encounter.

- **NEPA** – in this section you will enter information about whether or not your activities would result in impacts on the human environment. *The NEPA questions are for section 10(a)(1)(A) permits only.*

- **Project Contacts** – this section allows you to identify the applicant/permit holder, primary contact, principal investigator, and co-investigators who will be working under the permit. You may also change the applicant from this page.

- **Submit** – this section allows you to view your completed application and submit it for review. Once submitted, you cannot edit an application. You will need to contact a permit administrator at the appropriate agency.

On each page, **asterisks (*) denote required fields**. However, you may exit the system at any time. Your application will remain in draft mode until you complete the required fields and submit the application.



<Previous

Saves the data you have entered and moves you back to the previous data entry page. We recommend using the “Save” link before the “<Previous” or “Next>” links to assure everything is saved. Use this link instead of your browser’s Back button.

Reset

Removes all data entered on the current page since the last save.

Next>

Saves the data you have entered and moves you to the next data entry page. We recommend using the “Save” link before “<Previous” or “Next>” to assure everything is saved. Use this button instead of your browser’s Forward button.

Project Information

File Number:
The APPS system assigns file numbers automatically. This is the number you should use in all correspondence about the application.

****Project Title:*** *(you may enter a maximum of 255 characters)*
Describe the project as concisely and descriptively as possible. Include the study's geographic range and purpose. For example:

> "*Seasonal habitat selection by westslope cutthroat trout in headwater tributaries of the John Day River*."
> or
> "*Use of restored estuarine marsh channels/habitats by juvenile salmonids in the Siletz River Basin*."
>
> **Note**: Be sure to enter a project title before logging out of the system.

****Project Status:***
Project status indicates whether or not the project is new. If you are requesting a renewal of an existing permit, the renewal option will be selected. Project status is assigned based on your answers in the PAG. If the option selected is incorrect, you should delete this draft, go back to the PAG, and start a new application. Instructions for deleting a draft application can be found at the end of this section and in the table of contents.

Previous Federal or State Permit #:
For applications/permits you are renewing or modifying, the previous permit number will be automatically entered here.

****Permits Requested:***
One or more items will be highlighted based on your answers in the PAG. If the highlighted options are incorrect, you should delete this draft, go back to the PAG, and start a new application. Instructions for deleting a draft application can be found at the end of this section and in the table of contents. If you need guidance, you should contact the appropriate agency contact(s) for the species affected.

****Where will the activities occur?***
One or more general locations will be highlighted based on your answers in the PAG. If not correct, you should delete this draft, go back to the pre-application guide, and start a new application. **Please note:** you will have the opportunity to provide more specific location information on subsequent pages. Instructions for deleting a draft application can be found at the end of this section and in the table of contents.

****Research Timeframe:***
Enter the two-digit month, two-digit day, and four-digit year. For example, May 16, 2014 would be 05 16 2014.

Provide the start and end dates of your activities for which you are seeking a permit. The start date must not be prior to the date you successfully submit the application. For section 10(a)(1)(A) permits, the end date should be within five years of the start date. For 4(d) authorizations and OR STPs, the end date should be no later than December 31st of the year of the start date. If your research extends beyond these dates, please provide that information under “Sampling Season/Project Duration.”

Please provide realistic dates so that permit issuance can be prioritized to ensure all researchers receive authorization in time for their field work. For example, do not give a start date of January 1 and an end date of December 31 if you will not be conducting an activity throughout the entire year. However, the dates listed should allow some flexibility for unanticipated events.

Sampling Season/Project Duration: *(you may enter a maximum of 1,000 characters)*
Describe the sampling season and the duration of the project. Your description should include:

- The months of the year and frequency of samples (i.e. one time sampling event or weekly surveys), and

- If your research extends beyond five years or your research is a continuation of previously authorized research, enter information here about when the research began and when you expect it to end.

> *If you have not already done so, **click on the “Save” link** at the top of the screen (between Portfolio and Application Preview). We recommend you **save your work often**, especially when moving from one page to another.*

Abstract *(you may enter a maximum of 2,000 characters)*
This item is for Section 10(a)(1)(A) permits:

Provide a brief summary of the proposed research and/or enhancement project. This summary will be published in the *Federal Register* Notice of Receipt for a 30-day public comment period, and therefore should be understandable to a lay reader. The summary should include **concise** statements of the following information:

- Identify the ESA listed species that would be affected by the research;

- Describe the duration, purpose, goals, and location of the research;

- Describe how the study would benefit the affected species;

- Describe the type and manner of take (e.g., observe/harass; capture/handle/release; capture/tag, tissue sample/release; or intentional mortality);

- Describe the capture methods and gear that would be used;
- Describe any samples or measurements that would be taken; and
- Describe how the species would be cared for after capture (e.g., fish would be placed in an aerated bucket).

Project Type:
This item is for Oregon STP and Section 4(d) research authorizations in Oregon:
Select the category(s) that best describes your project. Select more than one type by using the Ctrl key while clicking.

> **Note:** The 4d process only authorizes take for scientific research. Education projects are not covered by 4(d) authorizations.

Click on the “Next>” link to save and go to the next page.

Project Description

Project Purpose (Hypothesis/Objectives):
This field should explain why this project is being done. Please include a description of:

- The hypothesis you are testing and/or overall objective of the project;
- If there are any Federal or state agency requirements or recommendations that it fulfills;
- How this project relates to a larger series of projects or research plan (if it does);
- How your research would directly benefit the species or fulfill a critically important research need; and
- If you have previously held or worked under a permit, discuss how your past findings have contributed to the body of knowledge on the subject and how they relate to your proposed objectives in this study.

Project Description:
This field should explain how your project is being conducted. Please include:

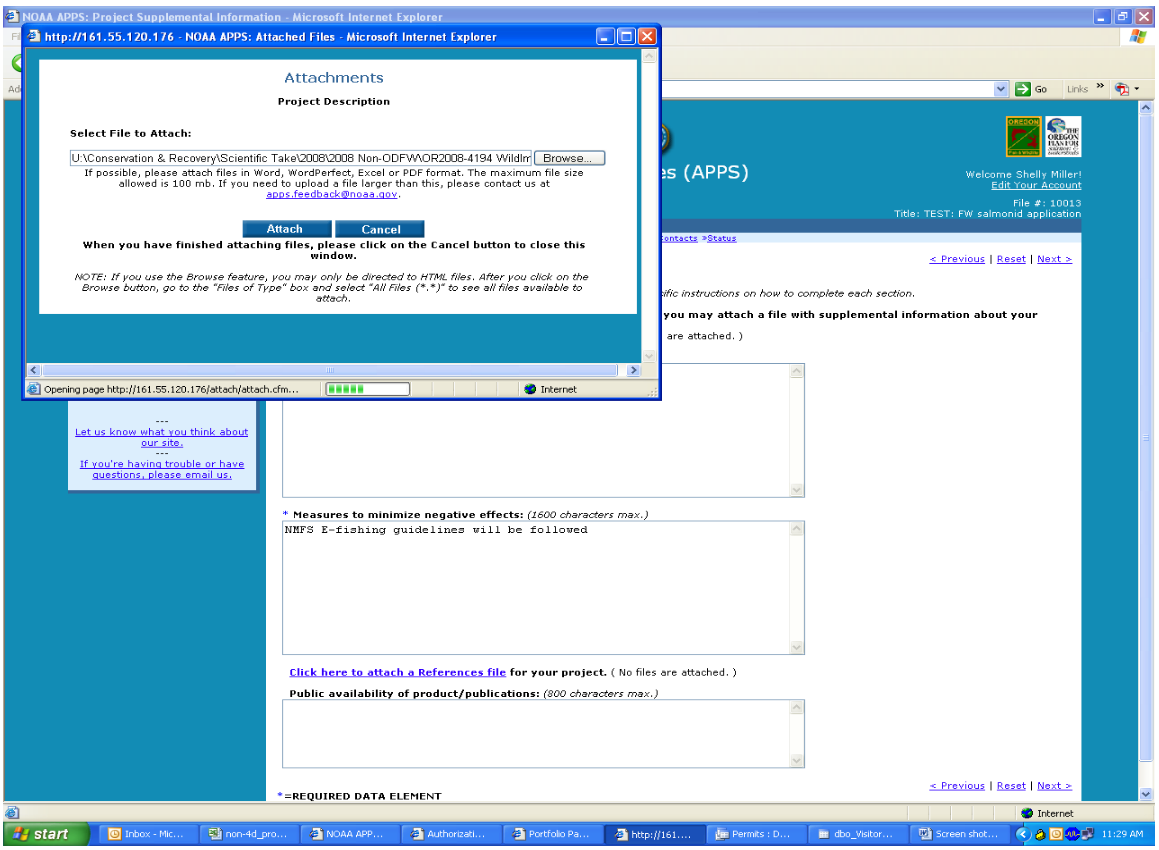
- A description of all methods used to capture fish and invertebrates and describe how they would be handled;
- A summary of sampling design, frequency, locations, and dates;

- A description of any intrusive procedures, such as tagging (i.e. radio/PIT) or taking tissue samples, and explain the purpose of them (e.g., fin tissues being sampled for genetic analysis);

- Please include the amount from each sampling event that will have this procedure performed and the maximum annual amount that is necessary for your research and analysis. Provide a thorough justification for these amounts (these amounts should be consistent throughout the application);

- Any plans to transport fish elsewhere for additional research; and

- A project proposal can be attached to supplement the project description (see below). However, a brief summary of the attached files is required in this field.



Note: The "Project Description" should also include the following information as applicable:

1. If research activities would occur aboard a vessel in the ocean or estuaries, the vessel name, its Federal ID number, and captain's name;

2. Applicants wishing to conduct fin clip mark/recapture studies in Oregon should contact the ODFW Fin Mark coordinator (503-657-2000 ext. 307). Please include a statement about this in the "Project Description";

3. If you would be using a type of trap or other sampling gear not specifically listed in the take table dropdown list, a description of the trap or gear should be included here. Photos or diagrams of the gear could also be attached in the "Project Supplemental Information" section below; and

4. Any idiosyncrasies which cannot be adequately captured in other portions of the application.

Click on the "Next>" link to save and go to the next page.

Project Supplemental Information

Attach a Supplemental Information File:
To attach a file with supplemental information, use the "click here to attach a supplemental file" link.

- You can attach a project proposal, scope of work, or other supplemental documentation.

- An Adobe Acrobat *.PDF file is the preferred format but other formats such as MS Word and MS Excel are acceptable.

- The attachment may not be larger than 10 MB. If you have a larger document, reduce the size by removing material that is not essential for the review of your application.

- You may also attach multiple files. Once you have attached a file, the screen will display text that a file is attached. You may need to refresh the screen to see this.

****Status of Species:*** *(you may enter a maximum of 2,000 characters)*
This item is for Section 10(a)(1)(A) permits:
Describe the recent status and trends of each ESU, DPS, or listed species proposed to be taken (include citations where possible).

- NMFS already possesses information at the ESU/DPS level (see various NMFS web sites), so there is no need to repeat it in your application.

- We are seeking new data here—specifically, status and trend data on any distinct populations the proposed action is likely to affect. Such information will help us evaluate the probable impacts of the proposed research.

Attach a Literature Review File:
This item is for Section 10(a)(1)(A) permits:
You may attach a literature review file for your project by clicking on the "Click here to attach a Literature Review file" link. A literature review is an account of what has been published on a topic by accredited scholars and researchers.

- In writing the literature review, your purpose is to convey to the reader what knowledge and ideas have been established on a topic; and what their strengths and weaknesses are.

- A PDF file is the preferred format but other formats such as MS Word and MS Excel are acceptable.

- The attachment may not be larger than 10 MB.

- If you have a larger document, reduce the size by removing material that is not essential.

- You may attach multiple files. Once you have attached a file, the screen will display text that a file is attached. You may need to refresh the screen to see this.

Methods:
This field should explain all the details of your field operations. Please include:

- All methods used to capture fish and invertebrates;
  - Electrofishing – methodology, voltage and equipment, number of personnel;
  - Hook and Line – hook type;
  - Nets, Seines, Trawls – mesh size and composition, methodology, soak time; and
  - Traps, Weirs – type, description of, size, how often checked.

- How the fish and invertebrates would be handled. Describe your techniques for minimizing impacts ; and

- Procedure(s) you would be performing on the fish and invertebrates. All procedures requested in the take table need to be addressed here.
  - Anesthesia – what are you using, care during, hold time;
  - Dye/Mark – what type, soak time, purpose;
  - Fin clips – which fin, size of clip, purpose;
  - Stomach pump – methodology, purpose;
  - Tagging – type and size and how and where they are attached; and
  - Tissue samples – where from, how taken.

*You **may not anesthetize any fish** that may be taken in a legal fishery unless you are using an **FDA approved anesthetic** and protocols. For information about approved anesthetics, please see the Federal Joint Subcommittee on Aquaculture's Guide to Drug, Vaccine, and Pesticide Use in Aquaculture* (http://www.extension.org/mediawiki/files/5/54/Drug_Guide_7-5-07.pdf)

***Lethal Take:** (you may enter a maximum of 800 characters)*
If you do not expect to intentionally kill any listed species, click the "Not Applicable" check box and leave the larger text box blank.

If you do not check the "Not Applicable" box, please include:

- A description of the lethal take you are requesting;
- A statement of why the lethal take is important to your project; and
- An adequate justification for killing listed fish.

***Anticipated Effects on Animals:** (you may enter a maximum of 1600 characters)*
If you are applying for an Oregon STP or 4(d) authorization, this may be used to indicate possible effects of tagging, anesthesia, or other research methods on the research animals. This field is required for section 10(a)(1)(A) research permits. Please describe:

- The effects of the research on the behavior and physiology of the fish; and
- Explain how you determined the numbers of listed species that would be killed, either intentionally (direct mortality, lethal take) or unintentionally (indirect mortality).

***Measures to minimize negative effects:** (you may enter a maximum of 1600 characters)*
Please describe:

- Any means by which you intend to minimize impacts on listed fish (i.e. reduced sample size; modified sampling times, locations, or methods; or non-lethal tissue collection); and
- If your application includes electrofishing, you must indicate in this box that you will follow the NMFS 2000 Electrofishing Guidelines. Visit http://www.westcoast.fisheries.noaa.gov/publications/reference_documents/esa_refs/section4d/electro2000.pdf for a copy of the electrofishing guidelines.

***Resources Needed to Accomplish Objectives:** (800 characters)*
This item is for Section 10(a)(1)(A) permits:

Explain how your expertise, facilities, and resources are adequate to successfully accomplish the objectives and activities stated in your application. Please include:

- The name and addresses of sponsors, cooperating institutions/researchers, or contractors, if not listed as Co-investigators on the application;

- If the proposed activities would be conducted by a contractor, then a statement that a qualified member of your staff (include name(s) and qualifications) would supervise or observe the taking; and

- Copies of any relevant formal research proposals, contracts, or letters of agreement that would demonstrate the financial or logistical resources available to you to conduct and complete the proposed activities.

***Disposition of Tissue Samples:** (800 characters)*
Provide a description of the disposition of any parts or samples remaining after the research or enhancement activities are complete.

- If you have made arrangements with a museum or other institutional collection to ensure that remaining tissues would be available for scientific research or enhancement purposes,
  - Include information on where the samples would be stored, transferred, and how/when/where they would be disposed.
  - Include contact information for each of researchers, laboratories, museums, and/or institutional collections that would receive these tissue samples or specimens.

- If you do not intend to retain samples, state whether samples/dead carcasses would be returned to their capture site consumed in analysis, or destroyed.

Attach a References File:
This item is for Section 10(a)(1)(A) permits:
For applications that contain citations to published works, you must include a list of references. References contain bibliographic information that would allow a reader to obtain a copy of the referenced work.

***Public availability of product/publications:** (you may enter a maximum of 800 characters)*
This section should be used to identify the anticipated or known availability of progress reports, publications, articles, etc. related to the project. For example, the URL for a web site hosting annual progress reports for a multi-year project.

Click on the “Next>” link to save and go to the next page.

Biologist Comments

This item is for Section 4(d) research authorizations and Oregon STPs:
Unless you are an employee of CDFG, ODFW, WDFW, or IDFG, this item is required for Section 4(d) research authorizations. The item is also required for all non-ODFW researchers seeking an Oregon STP.

In California and Oregon, you must contact the biologist(s) responsible for the region(s) in which your work would occur. You should describe your research proposal, the species involved, and the timing of the project. The local biologists can also be an excellent resource to identify potential sampling locations, appropriate timing, and species that may be encountered. For contact information, see Appendix IV.

For Idaho and Washington, you may include comments from regional biologists or from the state's 4(d) research coordinator. Contact information for the research coordinators can be found in Appendix IV.

For projects in Oregon, it is the researcher's responsibility to obtain comments from the ODFW District or Assistant District Biologists. If you have contacted the biologist(s) but not received a response, you may fill in this section with a placeholder (the name, date, and indicate that he/she has been contacted) and then submit your application. For research in Oregon, when you receive the comments at a later date, they may be emailed to fish.research@state.or.us with a reference to your file number.

For projects in California, it is the researcher's responsibility to obtain comments from the CDFW local biologist. If you have contacted the biologist(s) but have not received a response, please enter the name of the CDFW biologist and date, indicate that he/she has been contacted, and then submit your application.

Date:
Enter the month (2 digits), day (2 digits), and year (4 digits)

Name:
Enter the first and last names of the biologist(s).

Comment:
Enter text describing the biologist's comments (limit 500 characters).

If conducting research in Idaho or Washington you can request assistance through the appropriate office on the "Contact Us" page.

California Permit Information

This item is for Section 4(d) research authorizations in California:

1. For researchers that are not CDFW employees, it is required that you provide the CDFW Scientific Collecting Permit (SCP) number and expiration date for the Principal Investigator (PI) on the **California Permit Information** page of the

application. If the SCP is pending, please include the PI and indicate the status of the SCP within the list that will be uploaded as described below.

2. For researchers that are not CDFW employees, **PLEASE ALSO UPLOAD A LIST OF SCP information** (including Name, SCP #, expiration date, or status information) for each of the **Co-Investigator's** using the *Click here to attach a supplemental file* link on the **Project Supplementation Page** of the application. This information is necessary to confirm the status of SCP's for researchers that are not CDFW employees.

Federal Information Section

This section is used primarily to document existing or pending Federal permits or authorizations that cover take of ESA listed species. This includes any FWS or NMFS Section 10 permits, Section 6 Cooperative Agreements, Section 7 consultations or Biological Opinions, Letters of Determination of Take, Hatchery Genetic Management Plans (HGMP), etc. Any associated Federal coverage paperwork should be attached to the application.

Note: *An Oregon STP is not considered complete without the appropriate Federal coverage for take of ESA listed fish. The take tables of the Oregon STP application should be consistent with the approved take numbers in the Federal authorization(s). An Oregon STP will not authorize more take than the allowable levels in the Federal permits. Attach federal permits to your application using the instructions described in the Supplemental Information Section on page 15.*

This section should also be used to identify other ways in which the Federal government and its employees are involved in the project. This may include funding, cooperating on project implementation, permitting construction activities (Corps 404(d) permits), etc.

If there is no applicable Federal involvement or ESA listed species would not be taken as part of the project, check the box that states, "No Federal funds, Federal permits, or Federal employees are involved in this project."

Add Authorization/Comment

To enter Federal authorization information, click the "Add Authorization/Comment" button and provide the information below. You may also attach a copy of the Federal authorization by clicking on the "Click here to attach an electronic file" link at the bottom of the page.

Federal Agency:

Select the name of the Federal agency from the dropdown list.

Type:
Select the type of Federal action or permit from the dropdown list. If the action type is not found in the list, select "Other" and describe the action in the comments box.

***Number and Title:**
Indicate the reference number of the authorization and its title. The title can be abbreviated if necessary.

Date Signed:
Enter the month (2 digits), day (2 digits) and year (4 digits) that the authorization or activity (i.e. grant, MOU) became effective. If the action is pending, use the comments section to describe the expected date of completion.

Expiration Date:
The date the Federal agreement expires. While not required, this is an important field for authorizations with an expiration date (i.e. Section 10 permits). Use 2 digits for month and day and 4 digits for year.

Listing Units/Stocks covered:
Select the listing units or stocks covered by the authorization. Hold down the Ctrl key and click to select multiple species.

> **Note**: most species are listed by common name and then stock or listing unit (i.e. cutthroat trout, Lahontan and chum salmon, Columbia River). Use the comments to describe species that are not in the list.

Comments:
This field may be used as described above for authorizations pending and species that are not in the drop down list. This field may also be used to provide details if only a portion of a project is covered by the authorization.

Click "Done" when finished entering these data. You will be taken back to the summary page for "Federal Authorizations and Comments." Please attach electronic copies of applicable authorizations to handle federally listed species, if available. You can attach copies of other Federal permits or authorizations by clicking on the "Click here to attach an electronic file" link at the bottom of the page. Click on the "Browse" button to navigate to the appropriate directory on your computer and then click "Attach." After successfully attaching (the file should be listed near the top of the window), you will need to select "Cancel" to navigate back to the main "Federal Authorization and Comments" page.

> **Note**: There is nothing on this page to indicate that there is an attachment. Repeat the above steps to add multiple documents. To remove an attachment in this section, click the "Click here to attach an electronic file" link. Then click the "Unattach" link next to the file to remove it.

Project Locations and Take Information

From the main page you can add new locations, edit existing locations, and add or edit take information. Depending on your answers to the PAG, you may have the option to select a general area and one or more states. You may also have the option to designate the location as marine or freshwater. Once you create a location, you will use the "Take Information" page to describe the species you will encounter. The "Take Information" is a sub-page nested below the "Location Information" page. Other pages, all relating to locations and takes are also nested in the "Location and Take Information" section.

The main "Location Information" page is divided into two areas: the top of the page allows users to add, edit, or delete locations and the bottom of the page displays the locations already created (i.e. currently defined locations).

Add New Location

To add a location, click the "Add New Location" button.

Edit/Delete Location

To edit or delete an existing location, click the "Edit/Delete Location" button.

Edit Take

To edit the take table for an existing location, click the "Edit Take" button.

Creating a New Location

When you click on the "Add New Location" button, you will see the following two list boxes and one check box.

Select the general area:

You must first select a general location. For most research projects (even those that are freshwater), the default is Pacific Ocean.

Select the state(s):

Select one or more states. You can select more than one state by holding down the Ctrl key and clicking on the state names. If you only selected one state in the PAG, then you will not have the option to select multiple states.

If Oregon or Washington, what type of location is this?:

If you are applying for a permit in Washington or Oregon, you must select either marine or freshwater. The estuarine zone is considered to be marine. If your proposed project would be in both marine and freshwater, you will need to create a separate location record for each.

Enter Location Details

After you have completed the three items above, click the “Enter Location Details” button to input additional location information.

Basin:
Use the drop-down list to select which subbasin you will be working in. A separate location entry is required for each subbasin you will be working in. The subbasins are at the scale of 4th field hydrologic units (sometimes called 4th field HUCs). Click on the map link (located below the ‘Basin’ field) or go to Appendix V to view the subbasin maps. The maps print to a single page.

If you wish to see more detailed sub-basin maps for the Pacific Northwest you can use the Streamnet Interactive Mapping tools located at http://map.streamnet.org/. This site includes sub-basin and species distribution maps for Oregon, Idaho, and Washington. If you wish to see more detailed sub-basin maps for California you can use the CalFish Interactive Mapping tools located at http://www.calfish.org/. This site includes sub-basin and species distribution maps for California. Alternatively, you can use the search tool at US EPA Surf Your Watershed web page at http://cfpub.epa.gov/surf/locate/index.cfm.

Estuary:
If you will be working in the estuarine zone, select the appropriate estuarine region from the list. However, if your research location is the Pacific Ocean or the marine waters of the Puget Sound, **do not** select a subbasin. The next item below is used for Puget Sound marine habitats.

Marine Zone:
This field is visible if you have selected “Marine” for the type of location. If you will be working in the marine portion of the Puget Sound, you must choose from one of the marine zones in this drop down list. For a map of the marine zones, click on the “Washington Map” link.

Shoreline:
If your proposed project would occur in marine waters of Oregon, you will have the option of identifying a shoreline zone.

Ocean Area:
If your proposed project would occur in marine waters of Oregon, you will have the option of identifying an ocean area.

Waterbody:
Enter the name(s) of the lake(s), river(s), or estuary(s) where you will be conducting your research. You may enter up to 255 characters. If you need more room to list the waterbodies, you may enter a detailed stream list in the “Location Description” box. You may also attach your stream list using the attachment icon next to the “Location Description” field. If you do not know the stream name, enter “unknown.” Specific stream names must be supplied when they are available. You may also enter a subwatershed in “Stream Name” field, i.e. Bear Creek and tributaries.

Begin Mile:
For projects that would occur within stream habitats, you may provide the beginning river mile for your project. Please enter numbers only.
End Mile:
For projects that would occur within stream habitats, you may provide the ending river mile for your project. Please enter numbers only.

Township, Range, Section, Latitude, Longitude, UTM Northing, and UTM Easting:
If you have this information, please provide it.

> *Township, Range, and Section* should use a two digit format (i.e. 07S 03W 02DD Tax Lot 2200).
>
> ***For Geographic Coordinate Systems,*** *latitude and longitude* must be submitted using the Decimal Degrees format, with decimals collected out to the fifth decimal place (i.e. -121.54265). When collecting data using GPS units, please be sure that the unit is set to *North American Datum 83* (NAD83) standard. This is the preferred datum to be used.
>
> **Note:** For projects in Oregon, please refer to the following Oregon Department of Fish and Wildlife Location Data Standard Guide:
> https://nrimp.dfw.state.or.us/nrimp/standards/docs/ODFW_Location_Data_Standard.pdf

****Location Description:***
You may describe any landmark or geographic reference to where the project would be conducted. If sites have not yet been selected, you can explain how they will be selected. *Specific sites must be supplied when they are available*. For example, if you provided a sub-basin name under the "Stream Name" field, you should provide the names of the specific streams that will be sampled.

Attach File:
You may attach a file to provide more detail about the locations where you will be working. A PDF file is the preferred format, but other formats such as MS Excel and MS Word are acceptable. The attachment may not be larger than 10 MB. If you have a larger document, reduce the size by removing material that is not essential for the review of your application.

> **Note**: The attachment may detail specific survey sites within a sub-basin. However, you must still complete a take estimate for every sub-basin in which you will be collecting. You may enter all the locations where you are requesting to work, and then enter the takes associated with those locations. Or you can enter a location, and then enter the takes for that location. Once you have entered one or more locations, the lower part of the "Location and Take Information" page will display the locations. You will have the option of adding a new location, editing or deleting the location, or editing the take for a location. When you have completed all the location information on this page, click the "Next>"

link or the “Edit Take” button to go to the “Take Information” page. Once you create a location, you will use the “Take Information” page to describe the species you expect to encounter at that location.

Take Information

On the “Take Information” page, you will enter information for the species or species group to be taken, the quantity of each species, method of capture, intrusive procedures, transport information (if applicable), and sample dates. All data fields require entries, and the information must be specific to the location listed at the top of the page. If you have more than one location, each location will have a separate take table.

The “Take Information” page has three parts:

- Top of the page - reminds you which location you are working on;
- The middle - has editing tools (buttons) that allow you to add, edit, delete, copy, and re-organize take records in the take table; and
- The bottom - contains the take table.

You will create a separate record for each unique combination of species production type, life stage, take action, and capture method (see Appendix VII for a list of choices). For example, if you will take both artificially propagated and naturally produced Chinook, you will need at least two records in the take table. If you will also take tissue samples from a portion of the catch, you will have four records: one for capture, handle, and release of hatchery Chinook; one for capture handle and release of natural Chinook; one for capture/mark, tag, sample tissue/release hatchery Chinook; and one for capture/mark, tag, sample tissue/release natural Chinook.

Add More Lines

Clicking this button allows you to add more lines (rows) to the take table.

Edit Selected Records

Use this to “unlock” or “unfreeze” selected rows in the take table. Clicking this button allows you to edit selected rows. You must first put a check in (click on) the “Select” box at the far left of each row you want to edit.

Delete Selected Records

Clicking on this button allows you to delete selected takes from this location. You must first put a check in (click on) the “Select” box at the far left of each row you want to delete.

Copy Selected Records

This tool allows you to copy selected take records to the current location, another location within the same general area, or a location in a different general area. You must first put a check in (click on) the Select box at the far left of each row you want to copy.

Clicking on this button will open a new pop up window. You may select to go to the new location after you copy the records or stay at the location you are in by selecting those options in the “Copy Take Records” pop up window.

If you copy the takes within the current location, you will make duplicate copies of them. The records will appear at the bottom of the take table. You must make some changes to the copied rows or you will receive a “duplicate records” error message. This is useful, for example, if you are using multiple capture methods (i.e. screw trap, minnow traps, electrofishing, etc) to take a species, and the only thing different about the takes is the capture method. **Note:** All proposed take methods should be included in the application take tables. Estimated take for species may be distributed among the different methods.

If you copy the take to a new location within the same area, the information you have entered will be saved, and you will be taken to a new location page. In order to distinguish the new location from other locations, make sure that at least one of the location descriptors is unique.

If you copy the take information to a new location in a new area, you will be taken to a blank location page. Once you enter the “Location Information” and click the **Edit Take** button, you will go to the “Take Information” page, and you will see all the takes you copied from the previous location.

If you copy the takes to another location you already created, you will be taken to a new location page, and all the take information from the previous location will already be entered. The records will appear at the bottom of the take table.

Copy All Records

This function allows you to copy all take records to the current location, a new location within the same area, a new location outside the area, or to another location you already created. See the information in the “Copy Selected Records” section above for more details about the options.

Re-number lines

Each line in the “Take Information” section is numbered. If you delete one or more records, you should click this button to re-number the remaining lines in the take table.

Edit Transport Info

This button is available for applications requesting the collection and transportation of live animals. This option becomes available after you have selected “Collect and Transport Live Animals” as the Take Action for at least one row of your take table. When you click on the **Edit Transport Info** button, the “Project Transport Information” window will pop up. From this window, you can edit or add transport records. For more information on collect and transport requirements, see the “Collect and Transport Live Animal” section below.

Edit Location

Clicking on this will take you back to the Location Information screen (effectively "unlocking" the Location Information in the top portion of the page).

Save

This button saves all edited or updated take information. The **Save** button should be used to ensure that data is regularly saved in case of interruption or computer problems. **We recommend using this button before navigating to another page.**

Export to Excel

The take table can be exported to a Microsoft Excel workbook. Click on this button to create a new Excel workbook. You are not able to import tables from Microsoft Excel directly into APPS.

The Fields in the Take Table are as follows:

Select:

Leave this box blank unless you need to edit, delete, or copy a row in the take table. See the list of editing tools and terms listed above.

Line:

Each row in the take table is automatically numbered.

Version:

When you request a modification to an existing take record, the line will be copied and the version field in the copied record will contain a letter indicating that it is a modification of the corresponding line. For more information on modifications, see the section below on "Modification Requests."

Species:

Use the drop down list to select one species. Species are listed alphabetically by common name or by category, (i.e. Dungeness crab is listed as crab, Dungeness). If the species you are looking for is not on the list, you can request assistance through the appropriate office on the "Contact Us" page, also accessible through the link on the Home and Portfolio pages.

Listing Unit/Stock:

Depending on the species you selected in the previous field, this field will display only those listing units/stocks that may be in the area of your proposed research. Use the drop down list to select one "Listing Unit/Stock." **Note:** If your project is proposing take of an ESA listed species, you must have appropriate Federal coverage for the take. See the Federal Information Section above.

Production/Origin:
Use the drop-down list to select a "Production/Origin." The categories are: naturally produced; listed hatchery with a clipped adipose fin; listed hatchery with an intact adipose fin; and unlisted hatchery. If you will take more than one category, you will need to enter a separate row for each one. For more information on the listing status of hatchery fish, visit
http://www.westcoast.fisheries.noaa.gov/hatcheries/salmon_and_steelhead_hatcheries.html.

Life Stage:
Use the drop-down list to select a life stage. If you will take more than one life stage (i.e. adult and juvenile), you will need to enter a separate row for each life stage you will encounter.

Sex:
Use the drop-down list to select a sex. If your activity is targeting one sex indicate which sex is targeted. Otherwise, for all species that will be targeted select "Male and Female." Selecting unknown is only appropriate for the egg and larvae life stage.

Expected Take:
Enter the number of individual animals you expect to capture, observe, etc. (depending on the "Take Action" you selected). If you are entering take for a location representing multiple sites in a sub-basin, the expected take should equal the total take for all sites in that sub-basin.

> **Note:** You are not required to estimate expected take for "Observe/Harass" when conducting visual surveys. However, in California we **strongly** encourage researchers applying for direct take to include "observe/harass" activities in the application, so that the data can be reported annually.

For projects where the take action is "Intentional (Directed) Mortality," enter the number of individuals you will purposely kill.

Indirect Mortality:
Enter the number of individual animals you expect will be unintentionally killed as a result of your activities. If the take action is "Intentional (Directed) Mortality" or lethal take, then enter zero for the indirect mortality.

*Acceptable **Indirect Mortality** rates are up to 3% of the total per species for electrofishing and gill netting and up to 1% of the total per species for other methods. If you expect higher indirect mortality rates you must provide justification in the "Anticipated Effects on Animals" box on the "Supplemental Project Information" page. There are certain situations (i.e. section 10(a)(1)(A) permits, where 5% indirect mortality may be approved.*

Take Action:
Use the drop-down list to select the type of "Take Action." Select only one action. If more than one action is proposed, you must enter the takes separately. For example, if 100 fish are captured of which 50 will be fin clipped, you must request 50 fish "Capture, Handle, Release" and 50 "Capture/Mark, Tag, Sample Tissue/Release Live Animal." There are six "Take Action" types to choose from:

1. **Capture/Handle/Release Fish.**
   Select this method when fish or invertebrates are captured during the activity. Fish or invertebrates can be examined during handling (including measuring, weighing, sexing, checking for marks, scars, etc.) and release.
   Note: This category of take includes fish shocked as part of boat or backpack electrofishing activities, even if the fish swim away and are not netted.

> *If you are **electrofishing** you must state in the Minimize Impacts section on your application that you will follow the "NMFS 2000 Electrofishing Guidelines." Visit* http://www.westcoast.fisheries.noaa.gov/publications/reference_documents/esa_refs/section4d/electro2000.pdf *for a copy of the guidelines.*

2. **Capture/Mark, Tag, Sample Tissue/Release Live Animal.**
   Select this method when fish or invertebrates are captured, marked, tagged, or tissue samples taken using a variety of techniques including fin clips, coded wire tags, passive integrated transponders, radio tags, etc. Fish and invertebrates can also be examined during handling, including measuring, weighing, sexing, checking for marks, scars, etc., and then released.

   If you select this action, a "Select Procedure(s)" box will open. Select one or more methods, and click the Save button. To select more than one method, hold down the Ctrl key while clicking with your mouse. Your selections will appear in the right side of the take table under "Procedures." You may edit these by clicking on the link.

3. **Collect and Transport Live Animal.**
   Select this method when species will be transferred live from the point of collection to another site, usually to a facility; but also for species being relocated to another stream, subbasin, etc. Do not use for fish being moved within a stream (i.e. trap efficiencies). If you select "Collect and Transport Live Animal" as the take action, a "Transport Info" window will open. Instructions for completing the "Transport Information" form can be found below.

4. **Intentional (Directed) Mortality.**
   These are fish or invertebrates that will be purposely killed (i.e. for otolith analysis). You must describe justification in the “Project Description”.

> *For entries that are **directed mortality**, **enter zero** in the indirect mortality column!*

5. **Observe/Harass.**
   This method is used only for visual surveys (i.e. snorkel/habitat surveys). Select this method when no fish will be handled or captured in any way. If you select this option, you will not have to estimate expected take for this activity.

   Note: This method <u>should not</u> be used as part of boat or backpack electrofishing activities, even if the fish swim away and are not netted. These fish should be included under the “Capture/Handle/Release Fish” take action.

6. **Observe/Sample Tissue Dead Animal.**
   Select this method when information on dead fish is recorded or tissues are sampled from dead fish.

Observe/Collect Method:
Use the drop-down list to select the method of observation or capture. You may only select one observe/collect method per take. If you will be using various methods, you must provide take information for each observe/capture method using separate take lines in the tables. *You must explain all the observe/collect methods proposed in the project in the Methods section of the application*. You can use the “Copy Selected Records” button to duplicate takes within the location. Be sure to change something in the copied record (i.e. “Observe/Collect” method), or you will receive a “Duplicate Records” error message.

Procedures:
If you select the action “Capture/Mark, Tag, Sample Tissue/Release Live Fish,” then you are required to select at least one intrusive method. A separate window will pop-up containing a list of intrusive methods. To select more than one intrusive method, hold down the Ctrl key and click on as many as needed. If you select the action “Capture/Handle/Release,” you may only select “Anesthetize” for the intrusive method. *You must explain all the observe/collect methods proposed in the project in the Methods section of the application*. If you select the action “Collect and Transport Live Fish,” “Direct Mortality,” or “Observe/Sample Tissue Dead Fish,” you may enter intrusive methods; but they are not required.

Run:
Use the drop-down list to select an appropriate run for the species you selected.

Transport:
If you select the take action “Collect and Transport Live Animal” you will be prompted to enter information about the transport. That information will appear in this section. Click on the “Transport” button to edit the information. Instructions for completing the “Transport Information” form can be found below.

Begin Date:
This field will be populated with the “Begin Date” you entered on the “Project Information” page. You may change the date to be more restrictive. Do not enter a date that is earlier than the “Begin Date” you entered on the “Project Information” page.

End Date:
This field will be populated with the “End Date” you entered on the “Project Information” page. You may change the date to be more restrictive. Do not enter a date that is later than the “End Date” you entered on the “Project Information” page.

When you have entered all the “Take Information” for a location, click the “Next>” link. You may need to use the scroll bar at the bottom of the screen to see the link. This will send you back to the “Location and Take Information” main page. Continue entering all locations and takes needed for your project. When you are finished, click the “Next>” link.

Transport Information

In the “Transport Information” window, you will be given the option to select a transport location from information you previously entered. If you have not previously entered transport information or you need to enter a new transport record, click on the “click here” link to go to the “Transport Information” window.

Note: All of the fields on this page are required for projects that transport live animals.

****Mode(s) of transportation***
Describe the mode of transportation. Include a description of the vehicle used to transport animals.

****The name of the transportation company, if applicable, and the qualifications of the common carrier to transport live animals***
If a contractor will do the transportation, enter information in the box. Otherwise, click on N/A.

****Maximum length of time from capture to arrival at destination***
How long will the animal(s) be in transport?

****Description of the container (e.g., cage, tank) used to hold the animal during transit***
Include the material of the container and its dimensions.

***Any special care procedures (e.g., moisture, medicines, aeration) to be administered during transport**
How will the animals be cared for during transport?

***A statement as to whether the animals will be accompanied by a veterinarian or some similarly qualified person**
If so, give the name, affiliation, and contact information for each person.

***Destination**
Use the drop down list to select the species destination. If your destination is not on the list, click on the "New Facility" button to add it. If the animals will be taken to a laboratory, classroom, or aquarium, provide details of the location. If the animals will be released in another waterbody, then provide details of the location.

***How will the animals be contained at the destination facility?**
Describe the containment system for the animals, quarantine procedures, and effluent treatment.

***The final disposition of the animals**
Describe, for example, whether the fish will be released, sacrificed, or deposited in a museum collection (e.g. "*Retain alive for six months, then release*", "*Sacrifice for tissue analysis"*).

When you have completed all nine fields, click the "Save" button to save the information and go back to the Transport Information box. When you have entered all the transport information for your application, click on the "Save" button to return to the "Take Information" page.

National Environmental Policy Act (NEPA) Considerations

The NEPA page is for Section 10(a)(1)(A) permits:

You are required to answer all five questions on this page. The questions should be self-explanatory. Please answer each question completely; "yes" or "no" are not sufficient answers. When you are finished, click the "Next>" link.

Project Contacts

This page allows you to enter information on the people who will be responsible for overseeing the project and supervision of others that will be working under the permit. Upon starting an application, the person who initiates the application will be assigned the following roles: **Applicant/Permit Holder, Principal Investigator (PI), and Primary Contact**. Automatic email notices from APPS will go to the Primary Contact and

Principal Investigator. This could be two different people or the same person. See Appendix II for Personnel Definitions for Authorizations and Permits.

Along with the three roles described above, a project may have a **Responsible Party**. In some cases, the applicant/permit holder may be an organization, institution, or agency. The Responsible Party would then be an official who has the legal authority to bind the organization, institution, or agency that is ultimately responsible for all activities of any individual operating under the authority of the permit. The Responsible Party is most often used when there is a likelihood of staff changes. For example, section 10(a)(1)(A) permits cannot be transferred from one individual to another. If the Permit Holder changes, NMFS has to issue a new permit. However, the Responsible Party role can be transferred to another individual. Long-term research projects held by public agencies tend to encounter staff changes and in many of these cases NMFS has assigned the permit holder role to the agency. It is up to the applicant to decide if this is appropriate for their project. To add a Responsible Party, click on the edit button. While the application is in draft, you may change the Applicant/Permit Holder, Principal Investigator, Responsible Party, and Primary Contact. To change the person assigned to these roles, click the edit button next to the name. This action will open the Contact Search box.

Adding contacts

Please search the database for the person before entering a new contact.

- *To search, enter the least amount of information, perhaps their last name, and then click on the "Search for Contact" button.*
- *If too many entries are returned, you may enter additional information about the person to reduce the search results.*

If the person is in the database, click on the "Select" button to add them to your application.

If the "Search for Contact" function did not find the person you want to add, then click on the "Create New Contact" button.

- *You will be prompted to enter the person's contact information (i.e. name, affiliation, email, etc.).*
- *Attach the person's CV if they are a PI or CI on the project.*
- *Enter the remaining required information and click the "Save" button when you are finished.*

In addition to the roles describe above, you may add **Co-Investigators (CI)** and **Collectors** to the application. Co-Investigators are individuals who are qualified and authorized to conduct or directly supervise activities conducted under a permit issued for scientific research or enhancement purposes without the on-site supervision of the **Principal Investigator**. The PI must be on site during any activities conducted under the permit unless a CI is present to act in place of the PI. To add a Co-Investigator, click on the "Add Personnel" button. This action will open the Contact Search box. If you are requesting an authorization/permit from NMFS, CVs are required for principal investigators and co-investigators (CVs are attached in one's user account which will automatically attach them to the permit). Repeat this process until all co-investigators have been added.

Collectors, not available for Section 10 permits, are those individuals that will always be supervised by either the PI or a named CI on the permit. Collectors are not authorized to conduct any activity under the permit unless directly supervised by the PI or a named CI. To add collectors, click "Unknown Collectors" and provide a brief description (i.e. hiring additional field crew for summer that will assist CI); individual names are not required.

Note: When conducting research associated with ESA listed species and Federal permits (i.e. NMFS Letter of Determination of Take, USFWS Section 10 permit), all of the named individuals listed as the Principal or Co-Investigators must be included as Authorized Individuals on the associated Federal authorization. For an Oregon STP, only those Authorized Individuals listed on the Federal permit can be included on the state permit.

When you are finished, click the "Next>" link to go to the "Submit Application" page.

Deleting a Draft Application

If you need to **delete a draft application**, follow these steps:

1. If you have not already opened the application, select the application you wish to delete.

2. Click on the "Application Preview" link at the top of the page.

3. From the Application Preview page, click on the "delete project" link to remove the project from the database.

Submit Application

Please review your data before submitting. You may review your application by clicking on the "Application Preview" link at the top of the page. The "Application Preview" page lists the file number and the sections of the application. Each application section has a plus sign to the left and an "edit section" link to the right. To preview a section, click on the plus sign next to the name of the section. You may also print or export your draft application by clicking on the "Print" or "Save as PDF File" radio buttons at the top of the page.

When you are satisfied that your application is complete, click on the "Submit" option at the top of the page. Your data will go through a series of data information checks. If any required fields have not been completed, you will be directed to complete them. You may need to scroll around the page to see the error messages and the fields to which they refer.

Continue by clicking on the **Submit Application** button until all errors are corrected, and you get a message that your application has been submitted.

Your application is not submitted until you see the "Permit or Authorization Application Submitted" screen. This confirms that your application is successfully submitted. If successfully submitted, your application's status will change to "Submitted" in your portfolio. You should also receive an email notification. If you do not receive an email, please contact the appropriate office. Contact information can be found on the "Contact Us" page, also accessible through the link on the Home and portfolio pages.

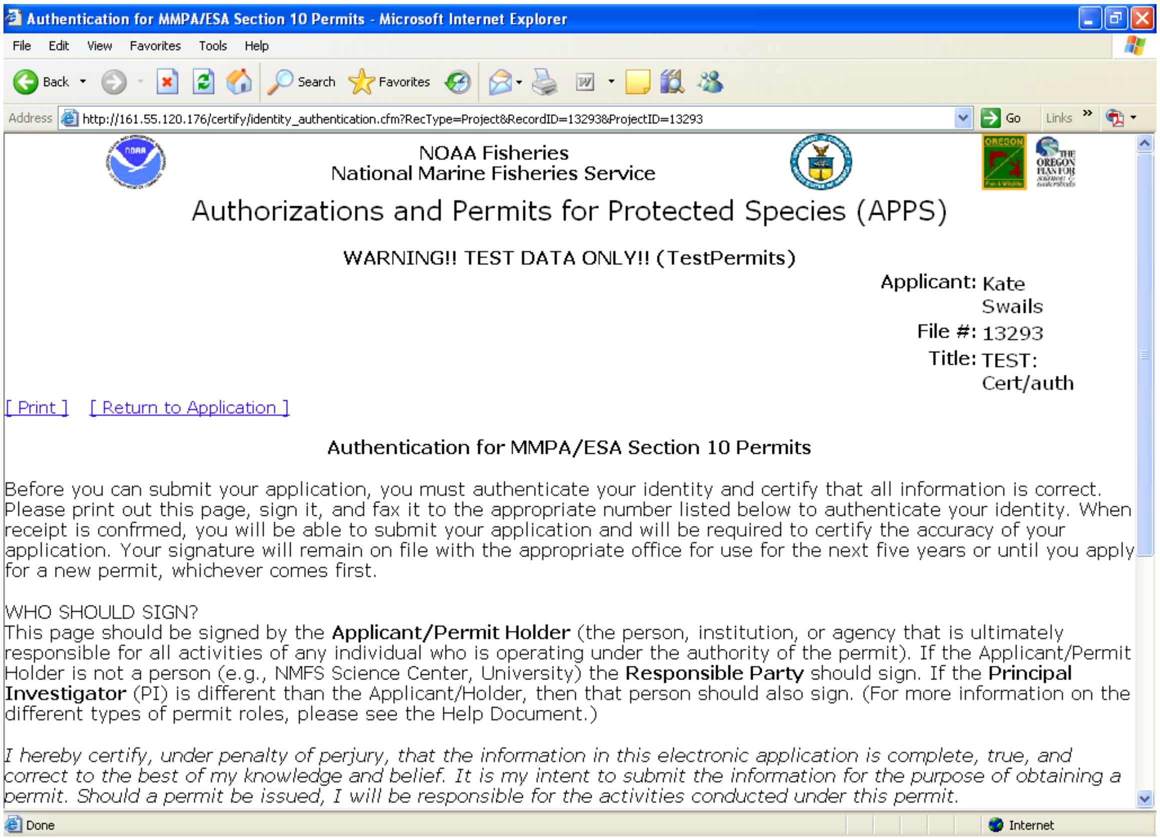
You will not be able to change a submitted application. You may continue to print it, save it as a file, and request modifications to it. If you need to provide further information, contact the appropriate office.

After you submit your application, NMFS and/or the Oregon Department of Fish and Wildlife ESA Program staff will receive your application and begin processing it. You will be contacted for more information, as necessary.

Authentication and Certification

This item is for Section 10(a)(1)(A) permits:

Print the following screen, have the Applicant/Permit Holder or Responsible Party sign and date the page (for personnel definitions refer to Appendix II).


Authentication for MMPA/ESA Section 10 Permits - Microsoft Internet Explorer

Address http://161.55.120.176/certify/identity_authentication.cfm?RecType=Project&RecordID=13293&ProjectID=13293

NOAA Fisheries
National Marine Fisheries Service

Authorizations and Permits for Protected Species (APPS)

WARNING!! TEST DATA ONLY!! (TestPermits)

Applicant: Kate Swails
File #: 13293
Title: TEST: Cert/auth

[Print] [Return to Application]

Authentication for MMPA/ESA Section 10 Permits

Before you can submit your application, you must authenticate your identity and certify that all information is correct. Please print out this page, sign it, and fax it to the appropriate number listed below to authenticate your identity. When receipt is confrmed, you will be able to submit your application and will be required to certify the accuracy of your application. Your signature will remain on file with the appropriate office for use for the next five years or until you apply for a new permit, whichever comes first.

WHO SHOULD SIGN?
This page should be signed by the **Applicant/Permit Holder** (the person, institution, or agency that is ultimately responsible for all activities of any individual who is operating under the authority of the permit). If the Applicant/Permit Holder is not a person (e.g., NMFS Science Center, University) the **Responsible Party** should sign. If the **Principal Investigator** (PI) is different than the Applicant/Holder, then that person should also sign. (For more information on the different types of permit roles, please see the Help Document.)

I hereby certify, under penalty of perjury, that the information in this electronic application is complete, true, and correct to the best of my knowledge and belief. It is my intent to submit the information for the purpose of obtaining a permit. Should a permit be issued, I will be responsible for the activities conducted under this permit.

If the Principal Investigator (PI) differs from the Applicant/Permit Holder or Responsible Party, then the PI should also sign and date the page. Signatures will remain on file in the Permits Division for five years or until you apply for a new permit, whichever comes first.

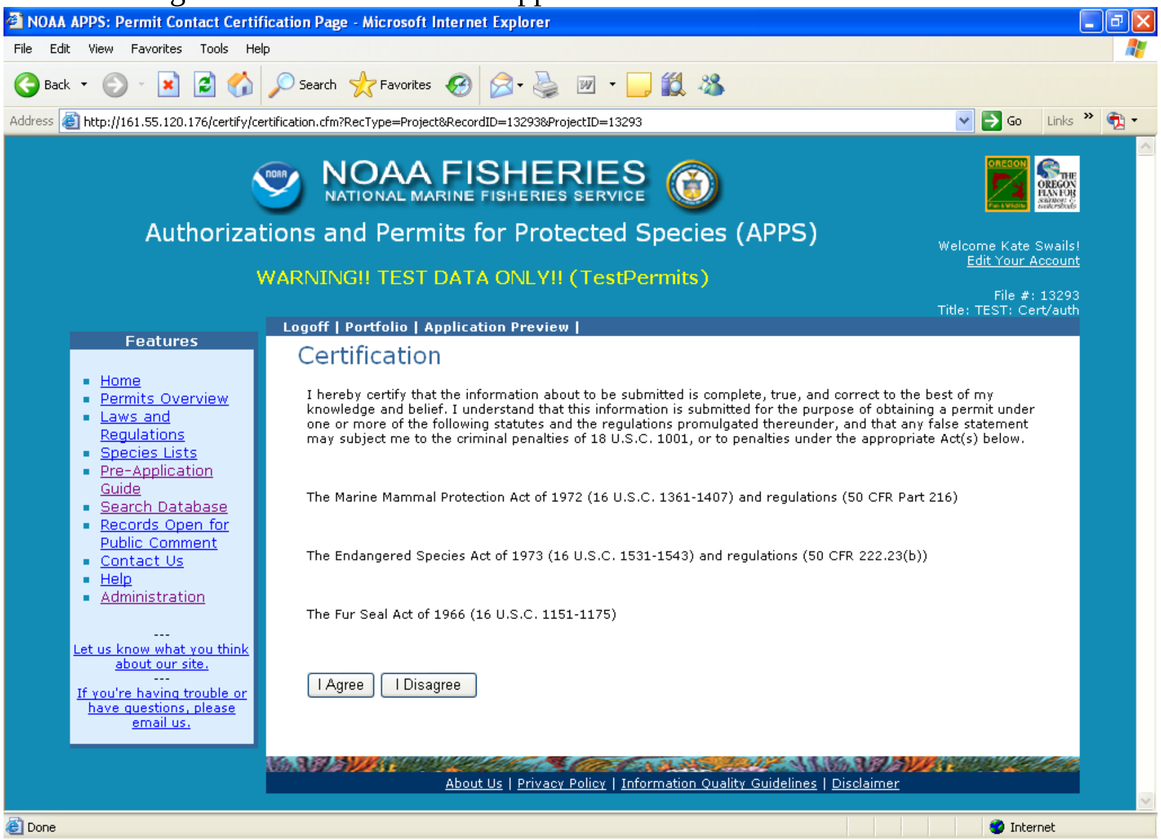
After you have signed and dated the page, please fax it to the appropriate number listed on the bottom of the page (for CA, fax to 707-578-3435; for ID, OR, and WA, fax to 503-230-5441).

Once you have faxed your authentication page, save your application, and log off APPS.

> *To print on one page make sure your text size is set to "smaller". In Internet Explorer go to "View" then "Text Size" and choose "smaller."*

A permit analyst will email or call you to confirm receipt of the signature page within 1-2 business days. After you are notified that your signature was received by the appropriate office, you may log into APPS and submit your application by clicking on the **Click Here to Submit Application** button.

The following certification screen will appear:

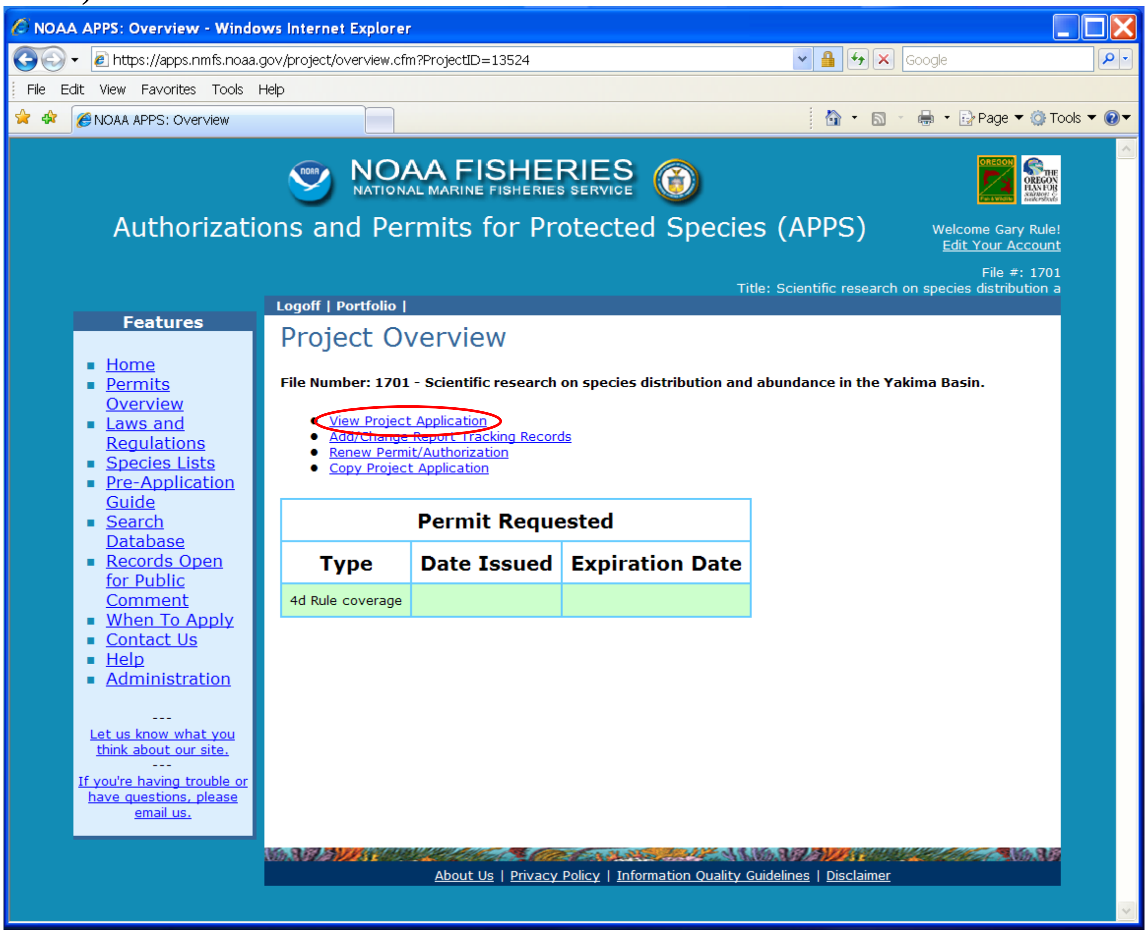


You must read and accept the certification statement before your application can be submitted. If you choose not to accept the statement, your application will not be submitted and your request cannot be processed.

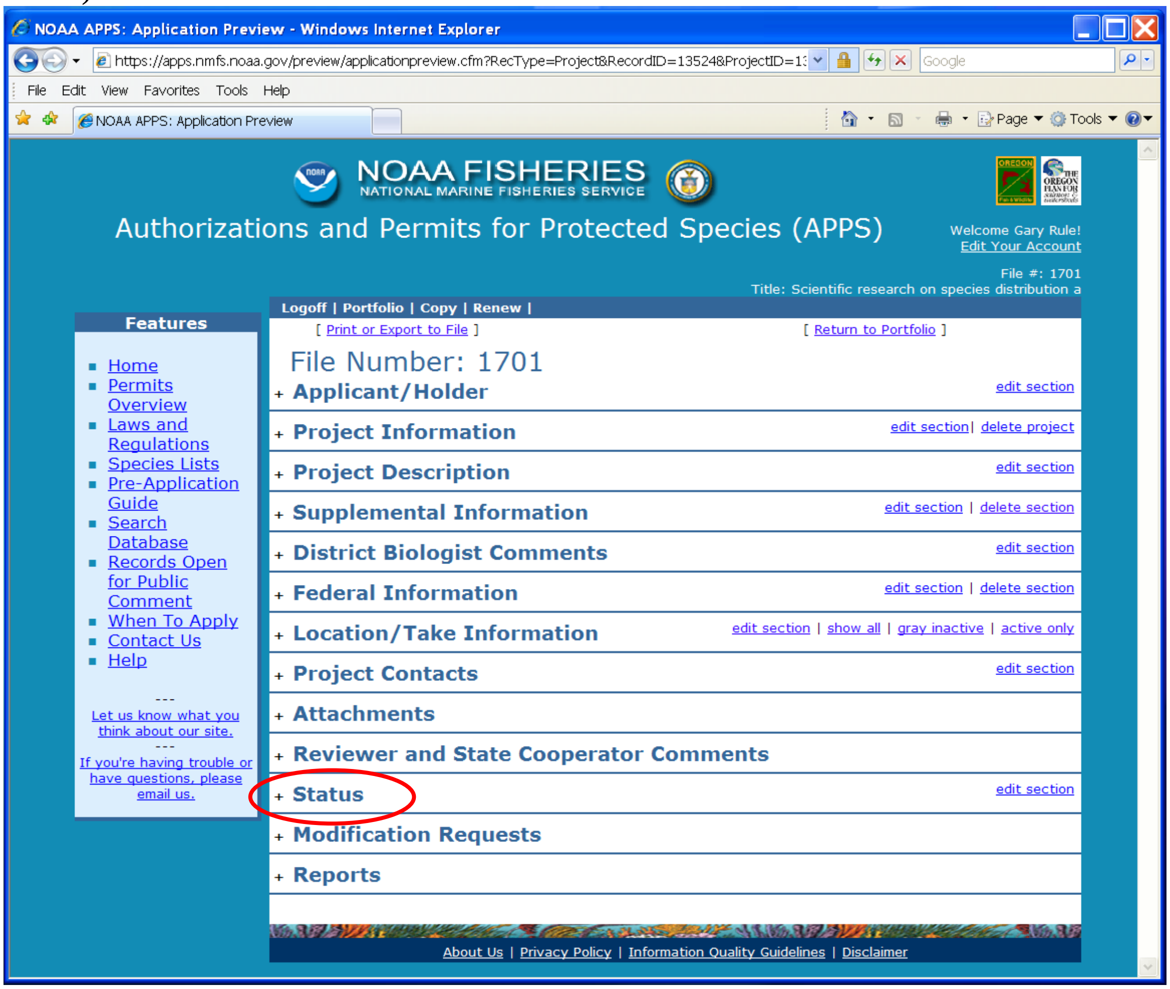
Project Status

You are encouraged to check the status of your application periodically. Once an application has been submitted, the "Project Status" page will track the progress of the application. This screen will display which analyst(s) have been assigned your application (with their contact information) and where your application is in the review process.

From the "Project Overview" page, click on the "View Project Application" link (see below):



On the “Project Application Page” page, click on “Status” to expand the section (see below):

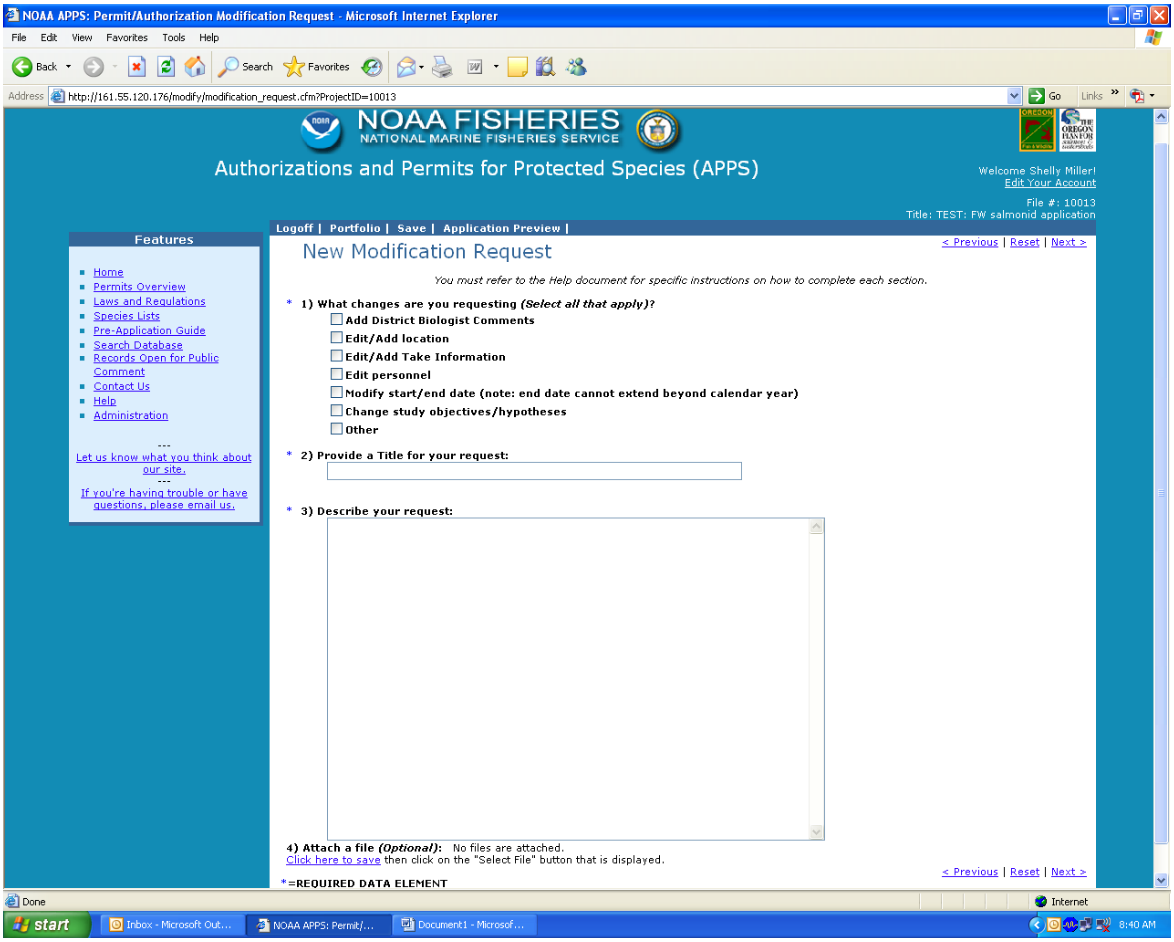


Requesting a Modification

The Modification Module is for 4(d) authorizations and Oregon STPs only. Contact your permit analyst if you want to modify a Section 10(a)(1)(A) permit.

This section allows researchers to request changes to their 4(d) authorization or Oregon STP. Only submitted and issued permits can be modified. Modifications for 4(d) permits are only acceptable for modifying research already approved within the issued permit – **no new research will be approved**. Any take increases will need to be reflected within that state’s collection permit (except for Oregon, the OR STP will be modified concurrently). When you are continuing a project covered by an OR STP and/or 4(d) authorization into the next calendar year, you need to renew your application rather than submit a modification request. A request to modify an existing permit should address all sections of these instructions relevant to the requested change. Please include a detailed description and justification for the proposed changes.

To begin, log in to your portfolio and open the submitted or issued permit that you would like to modify by clicking on the link to the left of the project title. At the top of the page you will see a series of links including "Request Modification." Click on this link to open the "New Modification Request" window (see below).



Modification Request Questions

1) What changes are you requesting (Select all that apply)?

On the first page of the "New Modification Request" window, you must check the type(s) of modification(s) you are requesting. You have the following list of options:

- Edit/Add Location
- Edit/Add Take Information
- Edit Personnel
- Modify Start/End Date
- Change Study Objectives/Hypotheses
- Other

Your selections will dictate what fields are available for you to edit on the screens that follow. For example, if you select "Edit/Add Take Information" you will only be able to modify the take table. If you decide that you need to change other parts of the take table, you will have to return to this screen and check those options.

2) Provide a Title for your request:
Describe the modification as concisely and descriptively as possible. **Note**: Be sure to enter a modification title before logging out of the system.

3) Describe your request:
Please provide a brief description of your request. Your description should include reasons why you are requesting a change.

4) Attach a file (Optional):
Pertinent documents to attach may include an authorization to extend the time frame covered by a biological opinion or a signed amendment of an FWS section 10 permit with additional collectors or methods named. To open the attachments window, click on the "Select File" button. Within the attachments window, you will click on the "Browse" button and then navigate to the directory containing the file you wish to attach. After locating the file, click the "Attach" button. More than one document can be attached from this window. When you have finished attaching files, click the "Cancel" button to return to the modification request form.

Click "Next>" to proceed.

Modification Types

Edit/Add Location
If you selected this option, you will see the "Modification Locations and Take Information" screen. Currently defined locations are displayed in the lower half of the screen. For instructions on adding locations and take information, see the "Project Locations and Take Information" section above. There is no limit to how many locations you can add, but you are encouraged to contact the state coordinator and/or Federal coordinator beforehand.

To edit or delete an existing location, select the location and click on the "Edit/Delete location" button. If no work has been conducted at a location, you may delete that location on the next screen by clicking on the "Delete location" button.

When you have completed changes to the location information and if you have no other edits, you can submit your modification request. Click the "Next>" link at the top right of the screen. You should now see the "Submit Modification Request" screen. You are encouraged to preview your modification before submitting.

Edit Take Information
This option allows applicants to request a modification to the take table. Some of the typical types of modification requests include: the addition of new capture methods, an increase in the number of fish taken, and the addition of new species. You may edit any

part of the take table. See the “Take Table” section above for instructions on required information in the table.

To request to remove/delete existing take records, first check the “Select” box to the left of the record you wish to delete, and then click the “Delete selected records” button near the top of the page. A pop-up notice box will appear that indicates that the record will still appear in the table but is marked for deletion.

To request a modification of existing take records, first check the “Select” box to the left of the record you wish to modify; and then click the “Edit selected records” button near the top of the page. The take table should refresh with an editable copy of the original record with the next consecutive version number. For example, if you selected line number 2 to edit, the copied record should be line number 2, version A. Then, make the changes you would like to the record.

When you have finished entering the edits, additions, and deletions you want to request, click the “Save” button and then the “Next>” link. You will be taken to the “Location” page where you can then proceed to another location for which modifications are needed or submit your application.

Edit Personnel

Refer to the “Project Contacts” section above for instructions on editing personnel information. The process for adding contacts is the same. To request removal of a contact, check the box labeled “remove” to the right of the contact’s role. When using the search function, be sure to exhaust your search (i.e., start out with a pretty generic search before getting too specific so that duplicate contacts are not created).

Modify Start/End Date

If you wish to modify the start and/or end dates, check this box and include the dates in the description of your request. Remember that end dates for 4(d) authorizations and Oregon Scientific Take Permits cannot extend beyond the calendar year in which they are issued.

Change Study Objectives/Hypotheses

If you wish to modify the study objectives/hypotheses, check this box and include the new objectives/hypotheses the description of your request.

Other

If you check this box, please explain the modification in the description of your request.

Submitting Your Modification Request

After moving through all of the applicable windows, you may submit your request using the “Next>” links or click the “Submit” link near the top of the page. A window should appear that suggests you review your request before submitting. **IMPORTANT**: You must click the "Click Here to Submit Modification Request" button on this page to submit your application.

Modifications will be processed and decided upon (approved, partially approved, or not approved) within 30 days of submission. Approved modifications will result in reissued permits which will be available on the applicant's APPS website account, and they will be informed via email. There are no limits on the number of modification applications.

Requesting a Renewal

This section allows researchers to renew an application. You may renew from either the previous application or a submitted report.

To begin, go into your portfolio, select and open the project you want to renew. Use the "Renew" tab at the top of the page. If you have submitted a report you will be given two options for renewing. Select either "Project Application" or Project Report." If you have not submitted a report, you will be given only the "Project Application" option.

Selecting "Project Application" will take you to the "Project Information" window of a new draft application that contains all the information that was in the previous application. Note that the file number has changed. Complete the application updating sections as necessary. Refer to "Permit Application Layout" section if you need help. If you have not done so for the current project, please contact the ODFW District Biologist again and provide his/her comments in the space provided.

Selecting "Project Report" will also take you to the "Project Information" screen of a new draft application. If you added additional species to the take table in your report, they will also appear in the take table. The number you reported as actual take will appear as estimated take in the new draft application. Proceed as described above and submit when you are finished with the application.

If you are submitting a renewal application from a previous application or submitted report, you will have an additional "Renewal Summary" Section. This section will ask you to summarize any changes, other than dates, that you have made from the previous application. You should include a brief summary of the changes, such as deleting or adding new locations, updating the Co-Investigators, or including new species in the take tables.

Submitting Your Renewal Request

After moving through all of the applicable windows, you may submit your renewed application using the "Next>" links or click the "Submit" link near the top of the page. A window should appear that suggests you review your application before submitting. **IMPORTANT**: You must click the "Click Here to Submit Renewal Request" button on this page to submit your application.